



Compliance Monitoring High Level Requirements Gathering

COMPASS Team

Agenda

- ▶ Overview of COMPASS Program
- ▶ Definition of “Compliance Monitoring”
- ▶ Discussion of what events should be monitored
- ▶ Discussion of notification process

What is the COMPASS Program?

The COMPASS program is a multi-year, FMCSA-wide initiative that will leverage new technology to transform the way FMCSA does business and implement an information technology (IT) solution that improves the Agency's ability to save lives.



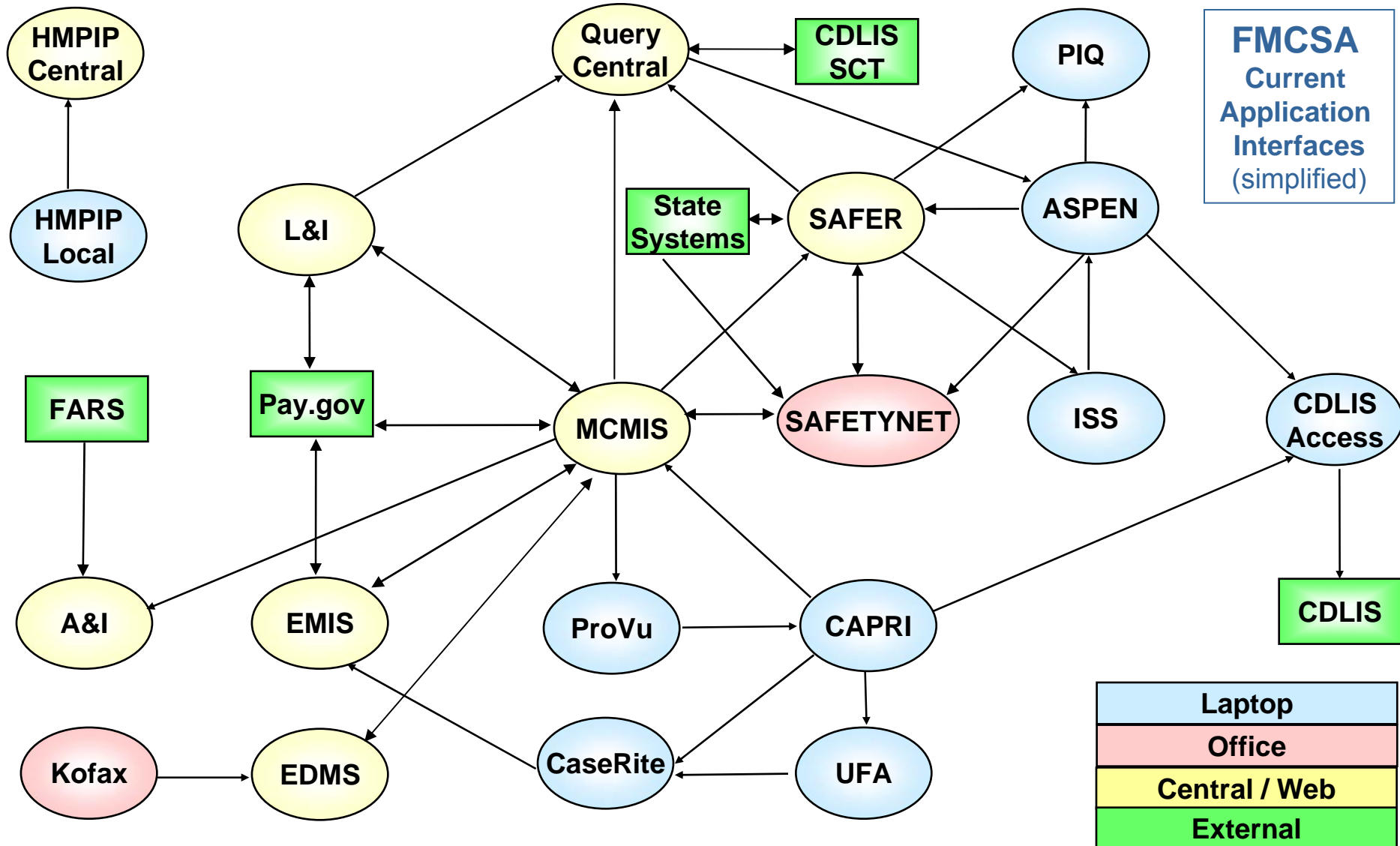
Expected Benefits for Enforcement and Industry

- ▶ Increased user efficiency and effectiveness by having:
 - **One location** to retrieve authoritative information that is protected from unauthorized access and alteration
 - **Timely and reliable information** for conducting roadside and border safety inspections, safety audits, and compliance reviews
 - **Automated alerts** sent to the right person for action
 - **Information “pushed out”** through a data warehouse for users to develop their own analysis reports
 - **Increased self-sufficiency** for the users (e.g. report development and analysis, online password reset, etc)

COMPASS Evolution

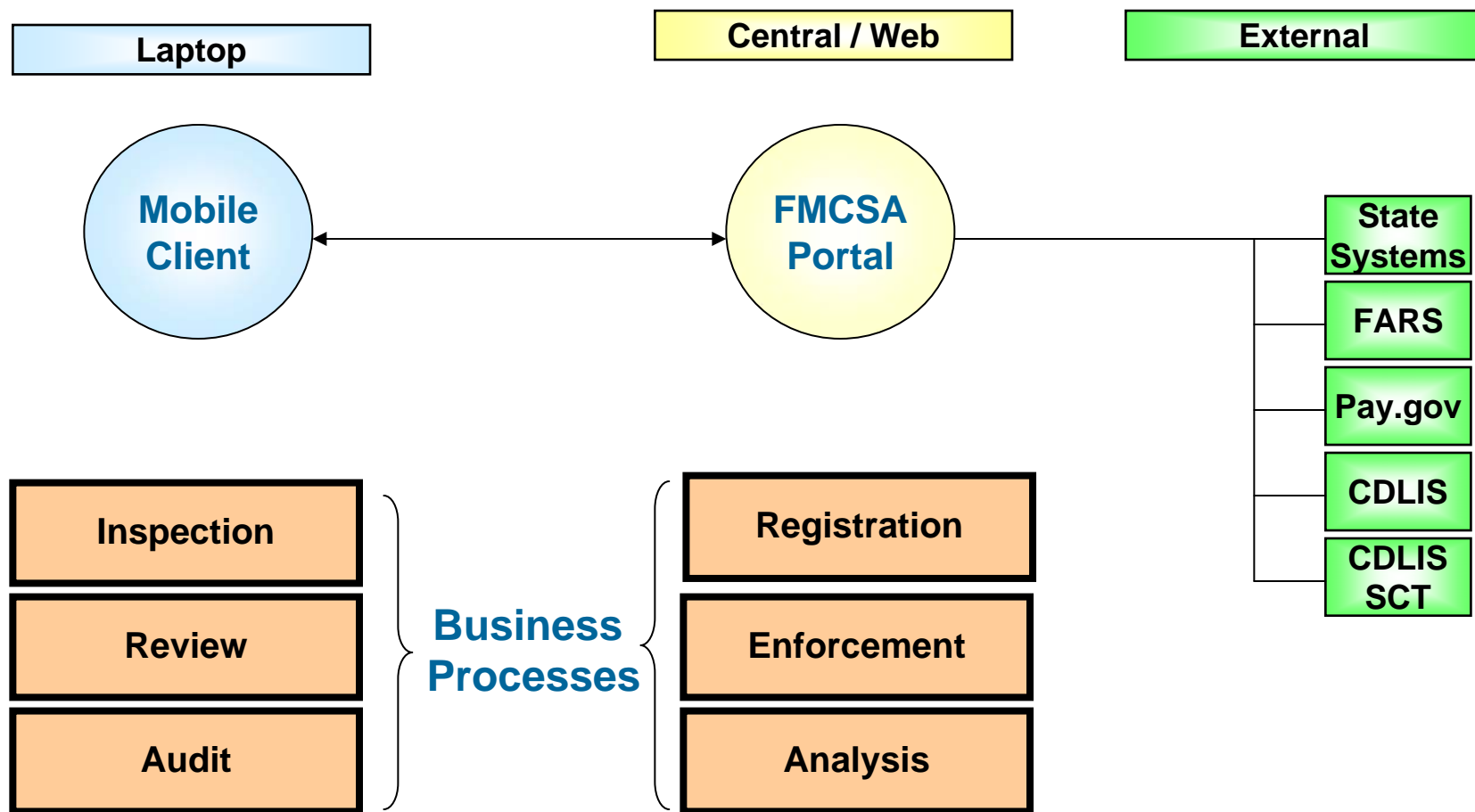
- The COMPASS strategy is to integrate business functionality in phases
- Over time all current safety application functionality will be integrated into the FMCSA portal and mobile client
- As functionality is deployed in the portal and mobile client, the existing systems will be retired

FMCSA's IT Systems Today





Long-term Vision: Improved Information Access



- ▶ Portal Access Release in Production
 - Training conducted in October 2007
- ▶ SSO Release
 - Currently in Requirements and Design

Portal Access Release Scope

- ▶ Prioritize Carriers for Review or Safety Audit assignment
- ▶ Assign Safety Investigators or Auditors to perform Review or Safety Audit
- ▶ View existing assignments
- ▶ View Company information online
- ▶ Print or download Company Safety Profiles
- ▶ Online accounts management and role assignment
- ▶ Online password maintenance
- ▶ Single Sign-on to MCMIS, EMIS, L&I and DataQs

- ▶ Expansion of the FMCSA Portal developed in the FMCSA Portal Access Release
 - Expand the SSO capabilities to include access to the secure functionality of seven additional FMCSA systems
Query Central, A&I, InfoSys, HMPIP, SAFER, NCCDB, EDMS
 - Provide links to the public functionality of ten systems
L&I, A&I, SAFER, NCCDB, Share the Road Safely, Protect Your Move, NTC, NRCME, NHMRR, CVISN
 - Enhance the online account management processes
 - Address specific Portal functionality and usability enhancements

Public Access, Registration and Compliance Monitoring Release Objectives

- ▶ Provide Portal functionality to the public
- ▶ Improve the data quality of the company census data
- ▶ Definition of when a notification should be triggered and if additional action is required
- ▶ A subscription process that allows users to subscribe to notifications
- ▶ Flexibility for the text of compliance related notifications
- ▶ Access through the Portal to compliance related notifications

► Alerts identified

- Lapse in insurance
- Carrier changed from inter to intrastate
- Driver cited as unqualified
- Drug and/or alcohol use
- Specific rules for New Entrants, HMSP, Mexican carriers

► Who should receive alerts

- New Entrant coordinators
- Service Centers
- HM Specialists
- FPM
- HM Program Manager

- ▶ Provide the capability to subscribe to alerts
- ▶ Link documents/files to alerts
- ▶ Deleting alerts should be a function of the user, not automated
- ▶ Classify alerts as informational or actionable
- ▶ An escalation process for alerts that have not been acted on



Discussion

- ▶ Additional alerts
- ▶ Who needs to be alerted
- ▶ Notification process
 - Media
 - Subscription Process
 - Approval Process
 - Escalation Rules
- ▶ Differences between Federal and State requirements?



Engaging FMCSA Field Staff and State Users

- ▶ You can make a difference by getting involved
 - Be aware of COMPASS program activities
www.fmcsa.dot.gov/COMPASS
 - Be an active spokesperson for COMPASS by speaking out on current activities and new program developments
 - Join working groups to help develop requirements, validate design, test, train, and/or manage change

**To speak out on COMPASS and get involved,
ask your supervisor and/or e-mail us
at compass@dot.gov.**

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